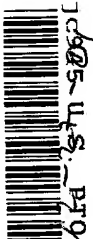


12/27/01



01-11-02

A

PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 10287.48

First Inventor Hedeji Tajima et al.

Title Carrier Holding Micro-Substances, System Suspending Such Carriers, Apparatus For Manipulating Such Carriers and Method of Controlling Positions of Such Carriers

Express Mail Label No. EL 828055607 US

10/042373

12/27/01

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 40 - published
41 - translated]
(preferred arrangement set forth below)
- Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 5]
5. Oath or Declaration [Total Pages 2]
- a. ☐ Newly executed (original or copy)
- b. ☒ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
- i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b).
6. ☒ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of
(when there is an assignee) Attorney
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure ☐ Copies of IDS
Statement (IDS)/PTO-1449 Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122
(b)(2)(B)(i). Applicant must attach form PTO/SB/35
or its equivalent.
17. ☒ Other: Express Mail

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: 09 / 202,229

Prior application information:

Examiner Do, P.

Group Art Unit:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS☒ Customer Number or Bar Code Label

000027683

(Insert Customer No. or Attach bar code label here)

or ☒ Correspondence address below

Name	Warren B. Kice				
Address	Haynes and Boone, LLP				
	901 Main Street, Suite 3100				
City	Dallas	State	Texas	Zip Code	75202-3126
Country	United States of America	Telephone	214-651-5634	Fax	214-651-5940

Name (Print/Type)	Warren B. Kice	Registration No. (Attorney/Agent)	22,732
Signature		Date	12/27/01

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

D-973894.1

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**FEE TRANSMITTAL
for FY 2002**

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 370.00**Complete if Known**

Application Number	n/a
Filing Date	
First Named Inventor	Hideji Tajima et al.
Examiner Name	unknown
Group Art Unit	unknown
Attorney Docket No.	10287.48

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 08-1394

Deposit Account Name Haynes and Boone, LLP

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

- ☒ Applicant claims small entity status See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION**1. BASIC FILING FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 740	201 370	Utility filing fee	370.00
106 330	206 165	Design filing fee	0.00
107 510	207 255	Plant filing fee	0.00
108 740	208 370	Reissue filing fee	0.00
114 160	214 80	Provisional filing fee	0.00

SUBTOTAL (1) (\$) 370.00**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
5	-20** = 0	9.00	0.00
1	-3** = 0	42.00	0.00
Multiple Dependent		0.00	0.00

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 84	202 42	Independent claims in excess of 3
104 280	204 140	Multiple dependent claim, if not paid
109 84	209 42	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 0.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for <i>ex parte</i> reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 400	216 200	Extension for reply within second month	
117 920	217 460	Extension for reply within third month	
118 1,440	218 720	Extension for reply within fourth month	
128 1,960	228 980	Extension for reply within fifth month	
119 320	219 160	Notice of Appeal	
120 320	220 160	Filing a brief in support of an appeal	
121 280	221 140	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,280	241 640	Petition to revive - unintentional	
142 1,280	242 640	Utility issue fee (or reissue)	
143 460	243 230	Design issue fee	
144 620	244 310	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))	
179 740	279 370	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 0.00**SUBMITTED BY****Complete (if applicable)**

Name (Print/Type)	Warren B. Kice	Registration No. (Attorney/Agent)	22,732	Telephone	214-651-5634
Signature		Date	12/27/01		

D-973990.1

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Customer No. 000027683

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:
Tajima, et al.

Serial No.: Divisional of 09/202,229

Filed: Herewith

For: CARRIER HOLDING MICRO-SUBSTANCES,
SYSTEM SUSPENDING SUCH CARRIERS,
APPARATUS FOR MANIPULATING SUCH
CARRIERS AND METHOD OF CONTROLLING
POSITIONS OF SUCH CARRIERS

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Group Art Unit: Unknown

Examiner: Unknown

Assistant Commissioner For Patents
Washington, D.C. 20231
Box New Patent Application (Divisional)

EXPRESS MAIL CERTIFICATE FOR DIVISIONAL APPLICATION

Express Mail Number: EL828055607US

Date of Deposit: December 27, 2001

I hereby certify that the following papers and fee are attached:

1. Utility Patent Application Transmittal for Divisional Application;
2. Fee Transmittal;
3. Preliminary Amendment;
4. Application Data Sheet;
5. Copy of the grandparent published International Application (Serial No. PCT/JP97/01962) with translation;
6. Five Sheets of Drawings containing Figures 1 thru 4;
7. Copy of parent application (Serial No. 09/202,229) Declaration/Power of Attorney;
8. Copy of parent application (Serial No. 09/202,229) recorded Assignment;
9. Information Disclosure Statement w/PTO Form 1449;
10. A check in the amount of \$370.00 for filing fee; and
11. A return postcard.

are being deposited with United States Postal Service "Express Mail Post Office to addressee"
to the Commissioner for Patents, New Patent Application (Divisional), Washington, D. C.
20231.

SANDRA KUBIN

Typed or Printed Name

Sandra Kubin

Signature

December 27, 2001

Date

d-974001.1